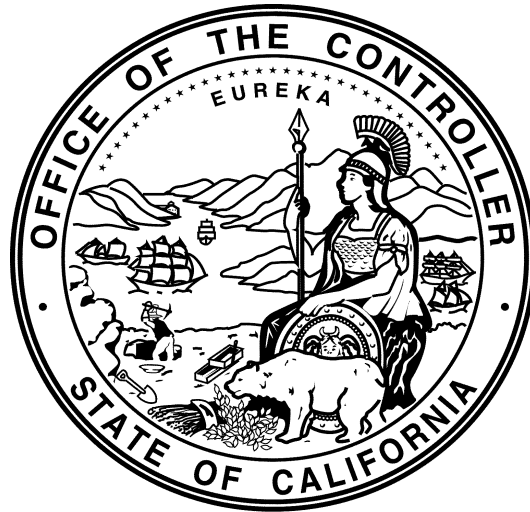


Investigator Handbook

Unclaimed Property Program



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Unclaimed Property Program

This handbook has been prepared to assist investigators in their endeavor to reunite owners with, or locate heirs to, unclaimed property.

California's Unclaimed Property Program is administered by the Office of the State Controller, Bureau of Unclaimed Property (Bureau). There are two types of property in the program: abandoned property and estates of deceased persons.

Abandoned Property

Statutes and regulations governing the administration of the Abandoned Property Program are found in the Code of Civil Procedure, Sections 1500 - 1582, and the California Administrative Code, Title 2, Subchapter 8, Articles 1 - 5.

The Abandoned Property Program requires holders of abandoned property to remit such funds to the State Controller when there has been no contact with the owner for a prescribed period of time. The original owner may have forgotten about the property or, in some instances, never knew of its existence. The property is held in perpetuity by the Controller's Office, meaning there is no deadline by which claims must be filed.

Examples of abandoned property are: savings accounts, checking accounts, certified checks, drafts, dividend and interest payments, wages, pension funds, stocks, mutual funds, bonds, debentures, and credit balances.

Property Record Files

The Bureau's principle abandoned property records are maintained on two computer files: the Accountability File and the Unclaimed Property System.

The Accountability File contains records from the beginning of the Unclaimed Property Program through 1992 for cash properties, and through 1996 for securities properties. This file is being phased out, and only a limited number of unclaimed property reports are being uploaded to it.

The Unclaimed Property System is the Bureau's master computer file. All unclaimed property reports are being uploaded to this file, which contains the most current information. Many accounts from the Accountability File have been converted to the Unclaimed Property System.

Access to Records

Accountability File and Unclaimed Property System records can be accessed on the State Controller's Web site at <http://www.sco.ca.gov>. In addition, the Accountability File records are available on microfiche, and the Unclaimed

Property System records are accessible through a CD-ROM application. Microfiche and CD-ROM records may be purchased or viewed at the Bureau's Sacramento office at 3301 C Street, Suite 712, or viewed at a public library. (An order form is provided on Appendix B-1 of this handbook.) If you wish to view the records at the Sacramento office, it is recommended that you make an appointment, to ensure availability of the personal computer or the microfiche readers in the viewing area.

Estates of Deceased Persons

Estates of deceased persons are remitted to the State Controller under provisions of the Probate Code and the Code of Civil Procedure, Section 1300 et seq. Unlike abandoned property accounts, which are held in perpetuity, estate accounts permanently escheat, and are no longer available to claim, after a period of time.

Judicial Escheat

Estates in the amount of \$1,000 or greater with named heirs are subject to judicial escheat.

After the Bureau has held estate funds for five years, a list of the estates is forwarded to the Office of the Attorney General. The Attorney General publishes the decedents' names and the decedents' named heirs in a newspaper of general circulation in the counties in which the estates were probated. After publication, the Attorney General consults with the Bureau to identify any estates where a valid claim has been established against the estate. If there has been no claim activity on an estate, the Attorney General obtains a permanent escheat court order. Five years from the date of the court order, the estate is permanently escheated by operation of law, and all future claims are barred. Thus, estate accounts in the amount of \$1,000 or greater with named heirs are subject to claim for a period of ten years after the estate is received by the Bureau of Unclaimed Property.

Administrative Escheat

Estates under \$1,000 with named heirs are subject to administrative escheat.

Five years from the date the Bureau receives the estate, a legal notice is published in a newspaper of general circulation in San Francisco, Los Angeles, and Sacramento. Additionally, a list of estates that are subject to permanent escheat, with named heirs, is on display in the offices of the State Controller in Sacramento and Los Angeles, and in the office of the Attorney General in San Francisco. Five years from the publication date, these estates are permanently escheated by operation of law, and all future claims are barred. Thus, estate accounts under \$1,000 with named heirs are subject to claim for a period of ten years after the estate is received by the Bureau of Unclaimed Property.

Estates with No Heirs

Estates with no named heirs permanently escheat five years from the estate's probate date, regardless of when the estate is received by the Bureau. Permanent escheat occurs by operation of law. Thus, estate accounts with no named heirs are subject to claim for a period of five years from the date the estate is probated.

Access to Records

The Bureau's records for estates of deceased persons have not been posted to the State Controller's Web site, but they may be accessed on microfiche. The microfiche records may be purchased or viewed at the Bureau's Sacramento office, or viewed at a public library. (An order form, Appendix B-1, is included in this handbook.) If you wish to view the records at the Sacramento office, it is recommended that you make an appointment, to ensure availability of the microfiche readers in the viewing area.

Unclaimed Property Information Available

Abandoned property information that is publicly accessible pertains to abandoned property that has been in the Bureau's possession for at least 12 months, pursuant to CCP Section 1582, which provides in part:

...records of the Controller's office pertaining to unclaimed property are not available for public inspection or copying until after publication of notice of the property or, if publication of notice of the property is not required, until one year after delivery of the property to the Controller.

Information on abandoned property that has been in the Bureau's possession for less than 12 months is not included in the records that are available. Information on estates of deceased persons is not subject to this time restriction.

Internet

Abandoned Property Program accounts since January 1, 1975, have been posted to the State Controller's Web site, www.sco.ca.gov. The site is updated weekly. It does not include information on paid accounts or accounts with claims pending.

The claim form on the Web site may be printed and attached to the investigator's claim form, but it may not be submitted in lieu of an investigator's claim package. Information on the claim process for investigators begins on page 20 of this handbook.

The Web site also contains other Unclaimed Property Program publications.

CD-ROM

Since 1992, the Bureau of Unclaimed Property has uploaded the majority of cash unclaimed property reports to the master computer file, the Unclaimed Property System (UPS). In 1996, the Bureau began uploading all unclaimed property reports containing securities to UPS. The majority of new unclaimed property information has been uploaded to UPS, which has essentially replaced the Accountability File for abandoned property.

The information uploaded to the Unclaimed Property System is available on CD-ROM for users with Windows 95, Windows NT, or later Windows software. The purchaser of the CD-ROM must be willing to follow the terms and conditions of the *State of California Software Agreement*, shown on pages 7-9. For procedures on downloading the CD to a personal computer and for navigating through the various screens, see page 10.

Microfiche Records

Microfiche records contain data from the inception of the Unclaimed Property Program to 1992 for cash accounts, and through 1996 for securities accounts. Since then, unclaimed property reports have not generally been uploaded to the Accountability File, so the microfiche files contain little new information. However, paid claim information continues to be updated on the microfiche files.

The following three types of microfiche files are for sale, at prices that cover the costs of development and preparation. See Appendix B-1 in this handbook for price information and instructions on how to purchase the microfiche records.

Alpha File

The Alpha File is an alphabetical listing of all named owners of abandoned property, decedents of estates, and named heirs of the estates of deceased persons. This file lists the names in alphabetical order, followed by the appropriate account number for that name. The account number is preceded by an "E" if it pertains to an estate. Each page of microfiche has a header index that indicates the number of the microfiche and the first name on that microfiche page.

The Alpha File is updated as time and budgetary constraints allow. New names are alphabetically integrated with the existing names if new unclaimed property reports are uploaded to the Accountability File. The names of decedents or heirs of estate accounts that have been claimed or that have permanently escheated have been deleted from the Alpha File.

Abandoned Property Accountability File

The Accountability File includes abandoned property accounts that may be subject to claim under the Unclaimed Property Law. The accounts are listed in numerical sequence. The information on the microfiche includes the holder that remitted the unclaimed property, the name and address of the named owner(s), the type of property remitted, securities information for securities-type properties, paid claim information, the account balance, and related information.

Estates of Deceased Persons Accountability File

The Estates of Deceased Persons Accountability File lists all estate accounts. However, only those accounts that have not permanently escheated are subject to claim.

The information on the microfiche includes the Controller's account number, the name of the decedent, the county code to indicate county of probate, the probate number, the type of estate (known heirs or no known heirs), named heirs, paid claim information, the account balance, and related information. The accounts are listed in numerical sequence by the Controller's account

number. The earlier accounts display only the Controller's account number, decedent's name, amount received, and date received. Additional information on an estate account can be obtained from the county clerk's office in the county of probate.

The Estate of Deceased Persons Accountability File is periodically updated. Estate accounts are received semi-annually from the counties, and throughout the year from private and public administrators. Estate accounts are subject to permanent escheat by operation of law, in which case they are no longer subject to claim.

State of California Software Agreement

READ THE FOLLOWING TERMS AND CONDITIONS CAREFULLY BEFORE OPENING THE PACKAGE CONTAINING THE STATE CONTROLLER'S CD SEARCH PROGRAM. OPENING THIS PACKAGE INDICATES YOUR ACCEPTANCE OF THESE TERMS AND CONDITIONS. IF YOU DO NOT AGREE WITH THESE TERMS AND CONDITIONS, PROMPTLY RETURN THE PACKAGE UNOPENED TO THE STATE OF CALIFORNIA, OFFICE OF THE STATE CONTROLLER, DIVISION OF COLLECTIONS, BUREAU OF UNCLAIMED PROPERTY, AND THE PURCHASE PRICE WILL BE REFUNDED.

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CD-ROM Unclaimed Property Search

Information Available on CD-ROM

In order to assist interested persons in obtaining information on unclaimed property, the State Controller's Office has provided access to its computerized data on a CD-ROM. The information contained on the CD-ROM has been extracted from the Unclaimed Property System (UPS), which is the Bureau's master computer file.

Since 1992, most unclaimed property reports have been uploaded directly to the UPS. The UPS file also contains information on some pre-1992 accounts that have been converted from the original computer system (Accountability File) to UPS. Information relating to securities has been directly uploaded to UPS since 1996.

The following instructions are designed to assist the user in installing and conducting searches on the CD-ROM. The instructions include all of the information needed for effective search and navigational techniques, since Bureau staff is unable to provide help-desk support. To use the Unclaimed Property Search Program, the following minimum system requirements must be met: CD-ROM Drive, 64 MB RAM, and Windows 95 (Upgrade B), Windows 98, or Windows NT.

Installing the CD-ROM

1. Ensure that the system requirements listed above are met.
2. Insert the CD in the designated drive.
3. Press the START button.
4. Click on RUN.
5. Type the drive letter of your CD-ROM and “: \install\setup.exe” and press OK.
6. On the WELCOME TO THE CDSEARCH INSTALLATION screen, press OK.
7. On the next screen, an icon of a computer will be displayed; click on this icon.
8. On the CDSEARCH SET UP screen, press OK.

Starting the Program

1. Press the Start button.
2. Go to Programs, and then to CDSEARCH.

3. Select the CDSEARCH program.
4. The UPS Main Menu will be displayed.

Using the Program

Each CD includes unclaimed property accounts that fall within a specified dollar amount range.

- CD #1 includes accounts within the range of \$0.01 to \$24.99.
- CD #2 includes accounts within the range of \$25.00 to \$49.99.
- CD #3 includes accounts within the range of \$50.00 to \$99.99.
- CD #4 includes accounts within the range of \$100.00 to \$199.99.
- CD #5 includes accounts within the range of \$200.00 and over.

There are accounts on each CD that either exceed or are below the specified dollar amount range for the CD. These accounts contain security-related properties (i.e., those with a property type code of 2, 3, 5, 6, 7, 8, 10, 11, 13, or 14). Each CD contains a copy of all security-related properties. Therefore, it is not necessary to switch CD's when searching for security-related accounts.

On CD #5 there are two files: SSB.doc and Nappco.doc. These files were created with MS Word 97. They contain a list of holder names that were turned over to the State Controller's Office from either State Street Bank or the National Abandoned Property Processing Corporation (NAPPCO). These lists provide the exact spelling of the holder names, which can be useful when searching for accounts that are submitted to the State Controller's Office by either State Street Bank or NAPPCO.

Search Capabilities

Upon accessing the CD-ROM, the UPS Main Menu will display the following search capabilities: Property ID #, Owner Name, Dollar Amount, Number of Shares, and Holder Name. To navigate to a search function, click on the specific search title.

Property ID# Search

This functionality should be selected if the Controller's account number assigned to the unclaimed property account is known. If you know which CD you want to search, insert that CD into the CD-ROM drive.

1. Type in the exact Property ID# (this is the same as the Controller's account #) in the box, then hit Enter or click on the SEARCH icon.

The Property ID # has to be a nine-digit number. If it is not, the system will display an error message. If the error message is displayed, enter zeros in front of the number until it has nine digits.

2. Upon successfully accessing an account, the system will display all information about the account on the screen. See the charts provided on Appendices A-1–A-6 for explanations of various data displayed.
3. To print the information displayed, click on the PRINT icon.
4. To return to the UPS Main Menu, click on the MAIN MENU icon.
5. To exit the CDSEARCH program, click on the EXIT icon.

Owner Name Search

This functionality should be selected if the Controller's account number assigned to the unclaimed property account is not known. If you know which CD you want to search, insert that CD into the CD-ROM drive.

1. Start with the last name of the owner. Type the owner name in the box. Press Enter or click on the SEARCH icon.

For common names, such as Smith or Jones, the system may take a few moments to complete the search.

2. The system will display a list of all accounts with the required name, along with the number of accounts found.
3. To print the information displayed, click on the PRINT icon.
4. To see more information on any specific account from the list, double click on that account.
5. To return to the list of names, click on the BACK key.
6. To return to the UPS Main Menu, click on the MAIN MENU icon.
7. To exit the CDSEARCH program, click on the EXIT icon.

Dollar Amount Search

This functionality should be selected if the inquirer is interested in locating property for a specific amount. The operator can use either the Between or the Greater Than option to search for accounts. If you know which CD you want to search, insert that CD into the CD-ROM drive.

1. If the Between option is chosen, enter both the low end and the high end of the dollar amount in the appropriate fields. Press Enter or click on the SEARCH icon.

If the Greater Than option is chosen, enter the “floor” dollar amount of the account to be found. Press Enter or click on the SEARCH icon.

2. The system will display a list of all accounts within the required dollar amount, along with the number of accounts found.
3. To print the information displayed, click on the PRINT icon.
4. To see more information on any specific account from the list, double click on that account.
5. To return to the list of names, click on the BACK key.
6. To return to the UPS Main Menu, click on the MAIN MENU icon.
7. To exit the CDSEARCH program, click on the EXIT icon.

Number of Shares Search

This functionality should be selected if the inquirer is interested in limiting the scope of the search for shares to a specific number. The operator can use either the Between or the Greater Than option to search for accounts. If you know which CD you want to search, insert that CD into the CD-ROM drive.

1. If the Between option is chosen, enter both the low end and the high end of the share amount in the appropriate fields. Press Enter or click on the SEARCH icon.

If the Greater Than option is chosen, enter the “floor” share amount of the account to be found. Press Enter or click on the SEARCH icon.

2. The system will display a list of all accounts meeting the search parameters, along with the number of accounts found.
3. To print the information displayed, click on the PRINT icon.
4. To see more information on any specific account from the list, double click on that account.
5. To return to the list of names, click on the BACK key.
6. To return to the UPS Main Menu, click on the MAIN MENU icon.
7. To exit the CDSEARCH program, click on the EXIT icon.

Issue Name Search

This functionality should be selected if the inquirer is interested in locating accounts that own a specific security. If you know which CD you want to search, insert that CD into the CD-ROM drive.

1. Type the name of the security in the box. Press Enter or click on the SEARCH icon.

For common names such as Pacific or Bank, the system may take a few moments to complete the search.

2. The system will display a list of all accounts meeting the search parameters, along with the number of accounts displayed.
3. To print the information displayed, click on the PRINT icon.
4. To see more information on any specific account from the list, double click on that account.
5. To return to the list of names, click on the BACK key.
6. To return to the UPS Main Menu, click on the MAIN MENU icon.
7. To exit the CDSEARCH program, click on the EXIT icon.

Holder Name Search

This functionality should be selected if the inquirer wishes to locate properties reported by a specific holder, such as a bank or a title company. The operator can search by both holder and remit year, or by holder only. If you know which CD you want to search, insert that CD into the CD-ROM drive.

1. To obtain a listing of all properties reported by a specific holder, enter the name of the holder in the Holder Name field. Press Enter or click on the SEARCH icon.

To obtain a listing of all the properties reported by a specific holder for a specific year, enter the name of the holder and the year in the appropriate fields. Press Enter or click on the SEARCH icon.

2. The system will display a list of all accounts meeting the search parameters, along with the number of accounts found.
3. To print the information displayed, click on the PRINT icon.
4. To see more information on any specific account from the list, double click on that account.

5. To return to the list of names, click on the BACK key.
6. To return to the UPS Main Menu, click on the MAIN MENU icon.
7. To exit the CDSEARCH program, click on the EXIT icon.

Exit

To exit the CDSEARCH program, click on the EXIT icon.

Accountability File Microfiche

The following descriptions will help the user to evaluate the information available on the Accountability File microfiche.

Account Number

If an account number is followed by the word "Holder," the number refers to the holder reporting the property. The name, address, and contact person are listed. An account number without the Holder notation refers to an owner. An account that lists no owner or holder information and has a County Code of 00 is an aggregate account with no identified owner.

Class Code

This code is comprised of two digits. The first digit refers to the type of holder that reported the account. The second digit refers to the type of property that escheated. See the charts on Appendices A-7–A-9 for a complete listing of Class Codes.

County Code

If the property value of the escheated account is \$50 or greater, or \$25 prior to 1997, the County Code refers to the county of the last known address of the owner. See the County Codes listing on Appendix A-10.

State Code

This code refers to the state of the last known address of the owner. See the State Codes listing on Appendix A-11.

Amount Reported

This is the amount reported. It may not be the same as the amount actually remitted for the owner.

Reporting Date

This is the date of the report filed by the holder.

Holder

This is the account number of the holder associated with the account.

Reference

This information is confidential and is not available for publication.

Owner's Name(s) and Address (no heading)

These are the names of the reported owner(s) and the last known address for the owner(s).

Transaction Date

This shows the dates of any activity on the account.

Comments

Directly to the right of the Class Code is usually a brief explanation of the activity.

Receipts

This shows the amount actually remitted for the reported account.

Disbursements

Any amount paid to a claimant is posted in this column.

Balance

This is the balance of the account.

Estates of Deceased Persons Microfiche

The following descriptions will help the user evaluate the information available on the Estates of Deceased Persons microfiche.

Account Number

The account number for an estate account has the suffix "E."

County Code

The County Code designates the county in which the probate process was initiated. Refer to the County Codes listing provided on Appendix A10.

Heir Code

This code indicates the type of estate:

01 = No Known Heirs

02 = Known Heirs Whose Whereabouts Are Unknown

Amount of Probate

This is the amount reported.

Probate Date

This is the date of probate.

Probate Number

This is the probate number of the county reporting the estate.

Decedent's Name (no heading)

This includes the decedent's name, any aliases (AKAs), and named heirs if the Heir Code is 02.

Transaction Date

This shows the dates of any activity on the account. The transaction date is preceded by a letter code, indicating the type of activity:

H = Date property was received, State Controller's receipt number,
and first named heir, if any

C = Comment

D = Disbursement

I = Additional income or deposits to the account

Comments

This field contains an explanation of the activity, along with any comments.

Receipts

This is the amount of property received or the amount of any additional income or deposits.

Disbursements

The amounts claimed and paid are posted in this column.

Balance

This is the balance of the account.

Abandoned Property Claims

Claim Package

A claim package is a group of documents submitted to validate a request for payment of abandoned property accounts. All claim packages are processed on a first-in first-out basis, based on the date the claim package is received by the Bureau. In order to expedite the payment of claims, the following guidelines are suggested.

1. There must be a properly executed Standard Investigator Agreement. (See page 24 and Appendices B-2 and B-3.)
2. There must be one claim form completed for each claimant, as indicated below. Claim forms submitted improperly will be returned to the investigator. (See Appendices B-4 and B-5.)
3. The claimant must execute the form and the signature must be notarized.
4. The investigator must execute the form; notarization is not required.
5. The claimant's SSN/tax identification number must be provided. An accommodation may be made for non-residents of the United States of America.

A claim package that does not contain the necessary items to validate the claim will be returned. Accompanying the returned claim package will be a Notice of Incomplete Claim For Unclaimed Property. (See Appendix B-6.)

Documentation by Property Type

In addition to the above requirements, the following documentation, as well as other documents that may be required to substantiate the claim, must be submitted according to the type of unclaimed property.

Savings or Checking Accounts

Required documentation:

- Account statement;
- Bank passbook; or
- Correspondence listing account numbers.

If the passbook or account statement is unavailable, a claimant is required to show proof of residence at the address shown on the account as reported to the State Controller.

Stocks, Dividends, Bonds or Debentures

Required documentation:

- Original stock certificate;
- Original dividend check;
- Original bond;
- Original debenture; or
- Account statement.

If the original certificate is not available, the State Controller may allow payment based upon other documentation submitted by the claimant, such as verification of occupancy at the registered address, proof of purchase, or cashing or evidence of a dividend check. If warranted, the State Controller may require a lost instrument bond from the claimant.

California's Unclaimed Property Law requires the State Controller to sell securities within two years of delivery to the State Controller's Office. If a claimant's securities have been sold, the claimant will receive the market value of the securities at the time of sale, plus interest in the amount of 5% per annum or the State's Pooled Money Investment Rate, whichever is lower, from the date of the sale to the date the property is returned to the claimant.

Note: The State Controller's Office is not authorized to buy back the claimant's shares, nor will it make up the difference in sale proceeds in the event the stock was sold below current market value. The State Controller is required to sell stock within the statutory period of two years (Code of Civil Procedure Section 1563).

Life Insurance Accounts

Required documentation:

- Insurance policy; or
- Insurance statement.

If the policy or statement is not available, a claimant is required to show proof of residence or occupancy at the address shown on the account as reported to the State Controller.

Escrow Accounts

The buyer's/seller's closing statement is required documentation.

If the statement is not available, the claimant is required to show proof of residence or occupancy at the address shown on the account as reported to the State Controller.

If the account shows both buyer and seller, the escrow agreement must be provided in order to identify the proper owner.

Negotiable Instruments, Certified Checks, Money Orders, or Travelers Checks

The original negotiable instrument is required documentation.

If the original instrument is unavailable, the State Controller is not able to honor the claim.

Safe-Deposit Box Contents

Required documentation:

- Account statement; or
- Safe-deposit box key.

If the statement or key is not available, proof of residence or occupancy at the address shown on the account is required. If proof of residence is not available or if the reporting agency did not report an account owner's last known address, evidence must be submitted proving an association with the reporting agency.

California's Unclaimed Property Law requires the State Controller to sell the contents of safe-deposit boxes if the contents appear to have monetary value; all other safe-deposit box contents (e.g., wills, statements, letters, deeds) are destroyed. Proceeds from the sale are used to satisfy any bank liens. Remaining proceeds are credited to the owner's account until a claim is presented. The sale proceeds earn interest at the State's Pooled Money Investment Rate or at 5%, whichever is lower. In the event that the contents of a safe-deposit box are not sold and a claim is presented, the State Controller, upon proof of ownership, will return the property by insured/registered mail after the claimant pays any liens on the safe-deposit box. The payment for the lien is made to the State Controller's Office, which forwards it to the bank.

Business Accounts

Business accounts such as vendor checks, accounts receivable credit balances, and rebates can be claimed by providing:

- Account statement verifying the relationship between the claimant and the company;
- Credit memo; or
- Other correspondence or documentation supporting the claim.

Corporations/Business Entities/Partnerships

Business accounts such as vendor checks, accounts receivable credit balances, and rebates can be claimed by providing:

- Evidence that the corporation is in good standing with the Secretary of State's Office (a statement of corporate standing can be obtained from the Business Programs Division, Business Filing Section, Secretary of State's Office, 1500 Eleventh Street, Sacramento, CA 95814);
- Tax return;
- Letterhead or business card for an authorized officer of the company and, if the company has been dissolved or merged, evidence of all mergers, which may include partnership agreements, copies of merger/articles of incorporation, and dissolution and wind-up documents; or
- Final tax return showing distribution of assets.

If the items above are not available, claimants are required to show proof of residence or occupancy at the address shown on the account as reported to the State Controller. Other documents may be required to establish proof of ownership.

Governmental Agency Accounts

Business accounts such as vendor checks and accounts receivable credit balances can be claimed by providing:

- Letterhead or business card for an authorized officer of the agency; and
- Copy of a document verifying the federal tax identification number.

Other documents may be required if the account is in the name of more than one owner.

Miscellaneous Accounts

Other types of accounts can be claimed by providing documentation associating the owner with the account. If proof of residence/occupancy or last known address is not available, documentation associating the claimant with the reporting agency must be submitted.

Deceased Owners

If the owner of the account is deceased and an heir or administrator of the estate is claiming the property, the State Controller requires the claimant to provide the death certificate for the deceased owner, plus one of the following documents or groups of documents:

- Copies of currently certified letters, dated within six months, appointing the executor or administrator of the decedent's estate and assigning the estate tax identification number;
- Copy of the court-ordered distribution of the decedent's estate;
- If the estate was valued at less than \$100,000 and was not probated or distributed by the courts, a copy of the decedent's will and/or trust agreement, along with a completed Declaration Under Probate Code Section 13101 form (see Appendix B-2);
- Table of Heirship form (see Appendix B-6); or
- If the estate or the owner's account was valued at more than \$100,000, a copy of the final decree of distribution; or
- Community property confirmation order under Probate Code Section 13656; or
- Trustee certificate under Probate Code Section 18100.5.

If the certified letter, court-ordered distribution, or decedent's will is not available, the claimant may be required to complete a certification of non-probate and submit a declaration form, along with a Table of Heirship form indicating the lines of succession (see Appendices B-7 and B-8).

Social Security Verification

Commonly used documentation verifying the reported Social Security number of the owner of the account is a copy of one of the following:

- Social Security card
- Old income tax return
- W-2 form
- Pay voucher or pay stub

Unacceptable Documentation

Copies of old telephone directories and statements from landlords or previous neighbors are not acceptable as documentation to verify the address reported by the holder.

Non-English Documents

If the document submitted to substantiate the claim is not in English or Spanish, the entire document must be translated into English. The translation must immediately follow the documentation.

The translation must be authenticated. If the document is translated at an embassy, the seal of the embassy must be affixed to the translation as authentication. If the document is translated at a college or university where the language is taught, the translation must be written or printed on letterhead of the institution and signed by the instructor who translated it.

Lost Instrument Bond

There may be instances when the original negotiable instrument, such as a cashier/certified check, money order, or stock certificate, is lost or missing. A lost instrument bond may be required. Any format used by a bonding company is acceptable. However, this bond is not proof of ownership. It is only an indemnification of the Controller's Office in the event that the account is fraudulently claimed.

Note: Submission of a lost instrument bond alone is not considered sufficient proof of ownership.

Organized, Referenced and Indexed Files

Documentation to substantiate complex claims should be organized, referenced, and indexed to facilitate Bureau evaluation of the claim package. Packages submitted with documentation not organized, referenced, and indexed may be returned to the investigator; they may be resubmitted once all requirements are met. It is the policy of the Bureau to process claims in a timely manner. Properly assembled claim packages will expedite the claim process.

Multiple Claims and Confidential Information

It occasionally happens that two investigators submit a claim on the same account. When two investigators submit an agreement with the same individual, the Bureau notifies both investigators and the claimant. The claimant must designate one investigator to represent his/her claim request and must notify the other investigator of the choice. The Bureau is unable to continue with the claim process until this issue is resolved. In such instances, all information submitted by either investigator regarding the claim is strictly confidential.

Standard Investigator Agreement

The investigator may not represent the owner/heir while claiming an unclaimed property account unless there is an agreement on file with the Bureau. The Bureau has developed a Standard Investigator Agreement to facilitate processing the claim package. The agreement is shown on Appendices B-2 and B-3, which may be duplicated.

Code of Civil Procedure Section 1582

The fees that investigators may charge to cover the costs of their efforts to reunite owners with unclaimed property are stipulated in CCP Section 1582, which states:

No agreement to locate, deliver, recover, or assist in the recovery of property reported under Section 1530, entered into between the date a report is filed under subdivision (d) of Section 1530 and the date of publication of notice under Section 1531 is valid. Such an agreement made after publication of notices is valid if the fee or compensation agreed upon is not in excess of ten percent (10%) of the recoverable property and the agreement is in writing and signed by the owner after disclosure in the agreement of the nature and value of the property and the name and address of the person or entity in possession of the property. Nothing in this section shall be construed to prevent an owner from asserting, at any time, that any agreement to locate property is based upon an excessive or unjust consideration.

Notwithstanding any other provision of law, records of the Controller's Office pertaining to unclaimed property are not available for public inspection or copying until after publication of notice of the property or, if publication of notice of the property is not required, until one year after delivery of the property to the Controller.

All standard investigator agreements are reviewed by the Bureau to ensure compliance with this statute.

Agreement Provisions

All investigator agreements submitted must be in compliance with CCP Section 1582. To facilitate claim processing, the Bureau recommends the use of the agreement on Appendices B-2 and B-3. If an investigator consults an attorney to devise an agreement, it must contain all of the essential elements shown in the sample agreement. It is advisable to have a new investigator agreement reviewed by the Bureau before submitting it with a claim package.

As stated in CCP Section 1582, full disclosure of the unclaimed property account is required. Full disclosure is:

- Owner name as reported by the holder
- Owner address as reported by the holder
- Reported amount of the account
- Name and address of the holder
- Name and address of the State Controller's Office, Bureau of Unclaimed Property

When one claim package is claiming several accounts, full disclosure is required for each account.

Agreement Required for Each Claimant

It is not unusual for a named owner to be deceased, in which case the property may be claimed by one or several heirs. There must be a fully executed agreement for each owner/heir entitled to the account. Each agreement must be approved by the Bureau before the claim package can be processed.

For example, if there are five owners/heirs to an account, and there is a valid agreement with two of the owners/heirs, fees will be paid based on the proportionate share due each claimant for whom there is a fully executed agreement.

Standardized/Non-Standardized Agreements

Investigator agreements submitted in the standardized form will be processed expeditiously. A claim package submitted with a non-standardized agreement will delay the evaluation process, because of the extra staff time required to analyze the non-standardized agreement to ensure conformity to CCP Section 1582. If the agreement is not in conformance with the law, it will be rejected. The investigator must then have all claimants sign and notarize the properly executed agreement before resubmitting the claim package.

Submitting a Claim Package

A claim package may be submitted to the Bureau of Unclaimed Property by any of the following acceptable methods:

U.S. Mail – Sent to the following address:

State Controller's Office
Division of Collections
Bureau of Unclaimed Property
Consumer Services Unit
P. O. Box 942850
Sacramento, CA 94250-5873

Expedite/Overnight Delivery – Delivered to the street address below.

Delivery in Person – Delivered to the following address:

State Controller's Office
Division of Collections
Bureau of Unclaimed Property
3301 C Street, Suite 712
Sacramento CA 95816

Claim Status

The Bureau of Unclaimed Property will approve or deny a claim package within 90 days of receipt of all documentation that substantiates the claim. Investigators are assigned to an analyst on an annual basis, and assignments are rotated each year. When a claim package is received by the Bureau, it is assigned to the analyst assigned to process that investigator's workload. The documents/documentation, claim form, and agreements will be analyzed for compliance with the Unclaimed Property Law and to ensure that the documentation substantiates the claim. One of the following status codes will be assigned to each claim package.

A. **Approved**

The claim package has been approved, and the claim will be processed for payment.

B. **Established/Pending**

The claim package has a deficiency. There are three areas in which deficiencies often occur:

1. ***Claim Form*** – The claim form is incomplete or not signed and notarized.
2. ***Investigator Agreement*** – The agreement is incomplete or not in compliance with CCP Section 1582.
3. ***Documentation*** – The documentation is incomplete or incorrect.

C. **Closed/Denied**

The Bureau will notify the investigator, in writing, if the documentation submitted indicates one of the following:

- The person claiming the account is not the correct owner/heir of the property. In this case, the entire claim package is returned to the investigator.
- The claim is already in process.
- The account was previously paid.

The investigator will also be notified if he or she failed to submit additional documents as requested by the Bureau.

A closed claim may be reopened by submitting an updated standard investigator agreement, a yellow claim form, and all required documentation to validate the claim request.

Payment of Claims

Investigator claims are paid according to the procedures below. Exceptions may be considered in extenuating circumstances and only upon the written approval of the claimant and the Bureau.

1. The payment is recorded against the claimant's Social Security or tax identification number on the Bureau's computer database.
2. Any IRS 1099 forms mailed to the Internal Revenue Service are recorded against the claimant's Social Security number or tax identification number.
3. The warrant and/or securities are issued in the name of the claimant and are mailed to the investigator.
4. The payment of the investigator's maximum ten percent (10%) fee is an issue to be resolved by the claimant and the investigator.
5. Whenever the claimant/heir resides in a foreign country, special handling of the payment may be considered.

Deceased Owners of Abandoned Property

When the named owner of the account being claimed is deceased, additional documentation is required before the claim package is reviewed. The documents required are:

1. Certified copy of the death certificate; and
1. Final Decree of Distribution (see Appendix B-9); or
2. If the decedent's estate is open, a current, certified copy of letters testamentary appointing the administrator or executor of the estate; or
3. If the owner's estate was not probated, the following:
 - Certified copy of the death certificate;
 - Probate Code Section 13101 Affidavit (see Appendix B-7);
 - Table of Heirship (see Appendix B-8), duly notarized; and
 - When a claim package for abandoned property is submitted under Probate Code Section 13101, verification that a will was not submitted for probate. The investigator must write the county clerk in the county in which the owner lived to obtain this verification (see Appendix B-9).

Report of Interest Income

The State Controller will add to the amount of any claim paid interest at the rate of 5% compounded annually or at the current interest rate received upon deposits held in the State's Pooled Money Investment Account, whichever is lower, for the period the property was on deposit in the Unclaimed Property Fund. In addition, the State Controller is required by law to issue a 1099 statement indicating the amount of interest paid to an owner of the unclaimed property.

The 1099 statement is filed with the Internal Revenue Service and the California Franchise Tax Board. The State Controller's Office issues 1099 statements once a year, during the month of January. This statement reports the amount of interest that the State Controller paid to a claimant in the tax year that the unclaimed property account was paid. Questions related to this document may be directed to the California State Controller's Office, P. O. Box 942850, Sacramento, CA 94250, or can be asked of a tax preparer. When filing state and federal income tax returns, this income must be reported.

If the holder pays a claimant and is reimbursed by the State Controller, the holder is responsible for issuing the 1099 statement.

Appendix A

Property Type Codes

Property Code	Property Classification
01	Cash in lieu of fractional shares
02	Units
03	Debentures or bonds
04	Dividends
05	IRAs - securities
06	Liquidating funds - securities
07	Municipal bonds
08	Mutual funds/money market funds
09	Mutual fund earnings/money market fund earnings
10	Shares exchanged for shares
11	Securities
12	Securities exchanged for cash
13	Warrants
14	Rights
15	Liquidating fund earnings
16	Municipal bond earnings
17	Bond interest
25	Aggregate account
26	Money orders
27	Travelers checks
28	Cashier/certified checks
41	Safe-deposit box contents
42	Safekeeping items
43	Savings bonds
55	Annuities
56	Checking accounts/demand deposits
57	Christmas club accounts
58	Collections
59	Commissions
60	Court settlements

<u>Property Code</u>	<u>Property Classification</u>
61	Credit balances
62	Death benefits
63	Endowments
64	Escrow checks/deposits
65	Garnishments
66	Gift certificates
67	Inmate trust funds
68	Insurance claims checks
69	Insurance premiums
70	Interest checks
71	IRAs
72	Layaway deposits
73	Liquidating funds
74	Matured/terminated policies
75	Mineral proceeds
76	Other
77	Patient trust funds
78	Pension/retirement funds
79	Refunds
80	Royalties/residuals
81	Salaries/wages
82	Savings accounts/credit union share accounts
83	Time deposits/CD accounts
84	Trusts
85	Vendor payments

Ownership Codes

Abbreviation	Definition
ADMIN	Administrator
AGENT	Agent
AKA	Also known as
AKA DECD	Also known as deceased
AKA EST	Also known as estate of
AKA ITF	Also known as in trust for
AKA TR	Also known as trustee
ANTNT	Annuitant
ASSIGNEE	Assignee
ATF	As trustee for
ATTY/F	Attorney for
BENF	Beneficiary
BORROWER	Borrower
BUYER	Buyer
COCONS	Co-conservator
CONS	Conservator
CO-OWNER	Co-owner
COTR	Co-trustee
CP	Community property
CT/ORD (MM/DD/CCYY)	Court order dated 10/18/1989
CT/OR GDN (MM/DD/CCYY)	Court order guardian 10/18/1989
CUST	Custodian
DEBT/AD	Debtor ad litem
DEBT/FOR	Debtor for
DEBT/IN	Debtor in
DEBT/OF	Debtor of
DECD	Deceased
DECD INS	Deceased insured
DECD/TR	Deceased trustee
DECD TUW (MM/DD/CCYY)	Deceased trustee under will of 10/04/1980

Abbreviation	Definition
DBA	Doing business as
DBA EST	Doing business as estate
DBA PAYEE	Doing business as payee
DEPEND	Dependant
EPSP MM/DD/CCYY)	Employee profit sharing plan 10/04/1980
EPT (MM/DD/CCYY)	Employee pension trust 10/04/1980
EST	Estate
EST BENF	Estate beneficiary
EST PAYEE	Estate payee
EST TR	Estate trustee
EUA (MM/DD/CCYY)	Estate under agreement 10/04/1980
EXEC	Executor
EXEC UWEE	Executor under the will of
FBO	For benefit of
GDN	Guardian
GDN AD LT	Guardian ad litem
GDN EST	Guardian estate
GDN TR	Guardian trustee
HEIR	Heir
ITF	In trust for
INCPT EST	Incompetent estate
INS	Insured
JT	Joint tenant
J/TR	Joint trustees
JTUA (MM/DD/CCYY)	Joint tenant under agreement 10/04/1980
JT WROS	Joint tenant writ of survivorship
LF/TN UW	Life tenant under the will of
MINOR	Minor
MINOR EST	Minor estate
MINOR TR	Minor trustee
NAT GDN	Natural guardian
OWN/AND	More than one owner - "and"
OWN/OR	More than one owner - "or"
OWNER	Owner

Abbreviation	Definition
PATIENT	Patient
P/ATTY	Power of attorney
PAYEE	Payee
# PAYEE ¹	1st payee, 2nd payee, etc. (use numbers only)
PF (MM/DD/CCYY)	Pension fund 10/04/1980
POD	Payable on death
PPSP (MM/DD/CCYY)	Pension and profit sharing plan 10/04/1980
PPT (MM/DD/CCYY)	Pension plan and trust 10/04/1980
PSP (MM/DD/CCYY)	Profit sharing plan (trust) 10/04/1980
PURC	Purchaser
REC	Receiver
REV TR (MM/DD/CCYY)	Revocable trust 10/04/1980
RT	Retirement trust
RTUA (MM/DD/CCYY)	Retirement trust under agreement 10/04/1980
SELLER	Seller
SUC COTR	Successor co-trustee
SUC TR	Successor trustee
TC	Tenants in common
TR	Trustee
TR PAYEE	Trustee payee
TUA (MM/DD/CCYY)	Trustee under agreement 10/04/1980
TUA FBO (MM/DD/CCYY)	Trustee under agreement for benefit of 10/04/1980
TUW (MM/DD/CCYY)	Trustee under will of 10/04/1980
UGMA CA ² (MM/DD/CCYY)	Uniform gift to minors act ca 10/04/1980
WROS	Writ of survivorship

¹ Can be any number (1 payee, 2 payee, 3 payee)

² Can be blank or any of the 50 states' two-character code

State Codes

Initial	State	Initial	State
AL	Alabama	MT	Montana
AK	Alaska	NC	North Carolina
AR	Arkansas	ND	North Dakota
AZ	Arizona	NE	Nebraska
CA	California	NH	New Hampshire
CO	Colorado	NJ	New Jersey
CT	Connecticut	NM	New Mexico
DC	District Of Columbia	NV	Nevada
DE	Delaware	NY	New York
FL	Florida	OH	Ohio
GA	Georgia	OK	Oklahoma
HI	Hawaii	OR	Oregon
IA	Iowa	PA	Pennsylvania
ID	Idaho	RI	Rhode Island
IL	Illinois	SC	South Carolina
IN	Indiana	SD	South Dakota
KS	Kansas	TN	Tennessee
KY	Kentucky	TX	Texas
LA	Louisiana	UT	Utah
MA	Massachusetts	VA	Virginia
ME	Maine	VT	Vermont
MD	Maryland	WA	Washington
MI	Michigan	WI	Wisconsin
MN	Minnesota	WV	West Virginia
MO	Missouri	WY	Wyoming
MS	Mississippi		

Class Codes as of July 1, 1985

Type of Organization		Type of Intangible Property
Banking Organizations	Code 1	0 Demand Deposits
		1 Savings Deposits and Interest
Savings and Loans	Code 2	2 Money Orders and Travelers Checks
Credit Unions	Code 2	3 Drafts, Certified Checks, Christmas Club
Loan Companies	Code 2	Checks, Cashier Checks
		4 Contents of Safe-Deposit Boxes and Safekeeping Items
		5 Trust Deposits (Escrow)
		6 Liquidating Funds
		7 Earnings Due Shareholder, Dividends
		8 Shares of Stock
		9 Miscellaneous Funds - Wages, Refunds, Acct. Payables, Collections, etc.
Business Associations	Code 3	0 Demand Deposits
Title Companies - Escrows	Code 3	1 Savings Deposits and Interest
Escrow Companies	Code 3	2 Money Orders and Travelers Checks
Collection Agencies	Code 3	3 Drafts, Certified Checks, Christmas Club
Credit Bureaus	Code 3	Checks, Cashier Checks
Insurance Companies	Code 3	4 Contents of Safe-Deposit Boxes and Safekeeping Items
(Other than Life Insurance)		5 Trust Deposits (Escrow)
Utilities	Code 3	6 Liquidating Funds
		7 Earnings Due Shareholders - Dividends
		8 Shares of Stock
		9 Miscellaneous Funds - Wages, Refunds, Acct. Payables, Collections, etc.
Life Insurance Companies	Code 4	1 Matured or Terminated Policies
		2 Policyholders' Dividends
		3 Premium Refunds Returned
		6 Liquidating Funds
		7 Earnings Due Shareholders - Dividends
		8 Shares of Stock
		9 Miscellaneous Funds - Commissions, Wages, Acct. Payables, etc.
Public Offices and Agencies	Code 5	9 All Intangible Personal Property, Courts, Other Holders, etc.

Class Codes prior to July 1, 1985

Type of Organization		Type of Intangible Property	
Banking Organizations	Code 1	0	Demand Deposits
Financial Organizations	Code 2	1	Savings Deposits and Interest
Savings and Loans	Code 2	2	Money Orders and Travelers Checks
		3	Drafts, Certified Checks, Christmas Club Checks, Cashier Checks
Business Associations	Code 3	4	Contents of Safe-Deposit Boxes and
Mortgage Companies	Code 3		Safekeeping Items
Convalescent Homes	Code 3	5	Trust Deposits
Title and Escrow Companies	Code 3	6	Liquidating Funds
Collection Agencies	Code 3	7	Earnings Due Shareholder - Dividends
Credit Bureaus	Code 3	8	Shares of Stock
		9	Miscellaneous Funds - Wages, Refunds, Acct. Payables, Royalties, etc.
Life Insurance Companies	Code 4	1	Matured or Terminated Policies - Annuities, Endowments, Surrenders, Death Benefits
		2	Policyholders' Dividends or Proceeds
		3	All Refunds
		6	Liquidating Funds
		7	Earnings Due Shareholders - Dividends
		8	Shares of Stock
		9	Miscellaneous Funds – Wages, Acct. Payables, Commissions, A/H Claims, etc.
Public Offices and Agencies	Code 5	9	All Intangible Personal Property
Utilities:	Code 6	5	Trust Deposits (Escrow)
Telephones		6	Liquidating Funds
Water		7	Earnings Due Shareholder - Dividends
Natural Gas		8	Shares of Stock
Electric		9	Miscellaneous Funds - Wages, Refunds, Acct. Payables, Collections, etc.
Insurance Companies (Other than Life Insurance)	Code 7	1	Terminated Policies
		2	Policyholders' Dividends or Proceeds
		3	Premium Refunds Returned
		6	Liquidating Funds
		7	Earnings Due Shareholders - Dividends
		8	Shares of Stock
		9	Miscellaneous Funds - Wages, Acct. Payables, Commissions, etc.

Type of Organization		Type of Intangible Property	
Credit Unions	Code 8	1	Savings Deposits and Interest
Loan Companies	Code 8	2	Money Orders and Travelers Checks
		3	Drafts, Certified Checks, Christmas Club Checks, Cashier Checks
		6	Liquidating Funds
		9	Miscellaneous Funds

County Codes

Code	County	Code	County	Code	County
0	³	21	Marin	42	Santa Barbara
1	Alameda	22	Mariposa	43	Santa Clara
2	Alpine	23	Mendocino	44	Santa Cruz
3	Amador	24	Merced	45	Shasta
4	Butte	25	Modoc	46	Sierra
5	Calaveras	26	Mono	47	Siskiyou
6	Colusa	27	Monterey	48	Solano
7	Contra Costa	28	Napa	49	Sonoma
8	Del Norte	29	Nevada	50	Stanislaus
9	El Dorado	30	Orange	51	Sutter
10	Fresno	31	Placer	52	Tehama
11	Glenn	32	Plumas	53	Trinity
12	Humboldt	33	Riverside	54	Tulare
13	Imperial	34	Sacramento	55	Tuolumne
14	Inyo	35	San Benito	56	Ventura
15	Kern	36	San Bernardino	57	Yolo
16	Kings	37	San Diego	58	Yuba
17	Lake	38	San Francisco	98	⁴
18	Lassen	39	San Joaquin	99	⁵
19	Los Angeles	40	San Luis Obispo		
20	Madera	41	San Mateo		

³ Usually indicates an aggregate account with no identified owners, which cannot be claimed without exact documentation to claim a portion of the account.

⁴ Indicates the account owner is a well-known entity.

⁵ Indicates the account is less than \$50 and is not required to be published.

Accountability File State Codes

Code	State	Code	State
00	California	26	Nebraska
01	Alabama	27	Nevada
02	Alaska	28	New Hampshire
03	Arizona	29	New Jersey
04	Arkansas	30	New Mexico
05	Colorado	31	New York
06	Connecticut	32	North Carolina
07	Delaware	33	North Dakota
08	Florida	34	Ohio
09	Georgia	35	Oklahoma
10	Hawaii	36	Oregon
11	Idaho	37	Pennsylvania
12	Illinois	38	Rhode Island
13	Indiana	39	South Carolina
14	Iowa	40	South Dakota
15	Kansas	41	Tennessee
16	Kentucky	42	Texas
17	Louisiana	43	Utah
18	Maine	44	Vermont
19	Maryland	45	Virginia
20	Massachusetts	46	Washington
21	Michigan	47	West Virginia
22	Minnesota	48	Wisconsin
23	Mississippi	49	Wyoming
24	Missouri	50	District Of Columbia
25	Montana	55	Out Of Country

Appendix B

REQUEST FOR UNCLAIMED PROPERTY RECORDS

Please indicate selected items by marking the appropriate box.

	<u>Price</u>
<input type="checkbox"/> <u>CD-ROM</u> (The CD-ROM is a set of five CD's that contain abandoned property account information pursuant to CCP Section 1500 et seq, that was received from banks, savings and loans, credit unions, and retailers. Contains cash accounts posted to the Unclaimed Property System database from 1992 through 1998, and securities accounts from 1996 through 1998.)	\$155.00
<input type="checkbox"/> <u>ALPHA FILE</u> (Contains an alphabetical list of owners of abandoned property and the decedents and heirs of estates of deceased persons posted to the Accountability File and Estates of Deceased Persons Accountability File databases. The period covered for the data begins in 1975, and ends February, 1999, for Estates and September, 1999, for Abandoned Property. This file contains ONLY those accounts that are listed in the Accountability File and Estates File.)	\$ 20.00
<input type="checkbox"/> <u>ACCOUNTABILITY FILE</u> (Contains abandoned property account information remitted pursuant to CCP Section 1500 et seq, that was received from banks, savings and loans, credit unions and retailers. This file was the main computer file from 1975 through 1992 for cash accounts, and through 1996 for securities accounts. A limited number of reports are being posted to this file. The last posting to this file was September, 1997. This file is updated periodically.)	\$144.00
<input type="checkbox"/> <u>ESTATES OF DECEASED PERSON FILE</u> (Estates are remitted by private and public administrators. The period covered for the data includes accounts received from 1975 through February, 1999. This computer file contains all estate accounts remitted pursuant to CCP Section 1300 et seq. This file is updated periodically.)	\$ 4.00
<input type="checkbox"/> <u>INVESTIGATOR HANDBOOK</u> (Contains the Investigator Handbook and claim forms for abandoned property claims.)	\$ 50.00
<input type="checkbox"/> <u>DELIVERY CHARGE</u> (Overnight delivery \$12.00. Regular delivery \$3.25.)	\$ _____

TOTAL AMOUNT ENCLOSED \$ _____

NO REFUNDS OR EXCHANGES.

Send the completed order form, with a money order, cashier's or personal check, (there will be a seven day delay on orders paid by personal check) to:

Controller of the State of California
Division of Collections
Bureau of Unclaimed Property
P.O. Box 942850
Sacramento, CA 94250-5873

I hereby certify these records will not be sold, duplicated, or loaned to anyone, and these records will not be used for bulk mailing.

NAME (PRINT): _____ SIGNATURE: _____

STREET/P.O. BOX: _____

CITY: _____ STATE: _____ ZIP: _____

DATE: _____ PHONE NUMBER: () _____

Standard Investigator Agreement

I.

This agreement into by and between _____, hereinafter referred to as "Claimant," and _____, herein after referred to as "Investigator."

II.

The Investigator through his/her efforts has located Claimant, who may be entitled to the assets in the possession of the State Controller of California, 3301 C Street, Suite 712, Sacramento, CA 95816 (Mailing Address: P.O. Box 942850, Sacramento, CA 94250-5873) as described below:

OWNER'S NAME: _____

OWNER'S ADDRESS AS REPORTED TO THE STATE CONTROLLER'S OFFICE: _____

REPORTED BY: _____

TYPE OF ACCOUNT: _____ AMOUNT: _____ PROP REF NBR: _____

SECURITIES: _____ PROPERTY ID NO: _____

☐

Claimant's Initials **(CHECK HERE IF THERE ARE ATTACHMENTS LISTING ADDITIONAL ACCOUNTS)**

III.

Investigator and Claimant do hereby agree that in consideration of Investigator's efforts in locating Claimant and assisting in the actual recovery of the above-described assets to which Claimant may be entitled, Claimant hereby agrees to pay the Investigator no more than ten percent (10%) of the net assets which Claimant in fact recovers. Claimant agrees that the investigator fee will be paid upon payment of the claim.

Agreed percentage (if less than 10%): _____ Claimant's Initials _____ Investigator's Initials _____

IV.

If the Investigator fails to disclose the nature and value of the property prior to the execution of this agreement, and Investigator and Claimant agree that if the existence and whereabouts of the above-described assets are known to the Claimant, and the Claimant believes that said assets would have been recovered without the information and advice given by the Investigator, then Claimant is under no obligation to Investigator.

V.

Investigator and Claimant agree that in the event Claimant is not entitled to assets described above and such assets are not recovered, there is no obligation on either party to the other, all expenses being borne by the Investigator.

VI.

This agreement is valid for six (6) months from the date signed by the Claimant. This agreement must be notarized by the Investigator.

Investigator: _____ Daytime Phone: _____

Investigator License #: _____ Date: _____

Address: _____

Investigator's Signature: _____

Investigator's Social Security Number or Tax Identification Number: _____

Claimant: _____ Daytime Phone: _____

Address: _____ Date: _____

Claimant's Signature: _____

Claimant's Social Security Number or Tax Identification Number: _____

Standard Investigator Agreement/Contract Attachment

Owner's Name:			
Owner's Address:			
Reported By:			
Type of Account:	Amount:	ID #:	
Securities:	Property ID #:		
Owner's Initials:			

Owner's Name:			
Owner's Address:			
Reported By:			
Type of Account:	Amount:	ID #:	
Securities:	Property ID #:		
Owner's Initials:			

Owner's Name:			
Owner's Address:			
Reported By:			
Type of Account:	Amount:	ID #:	
Securities:	Property ID #:		
Owner's Initials:			

Owner's Name:			
Owner's Address:			
Reported By:			
Type of Account:	Amount:	ID #:	
Securities:	Property ID #:		
Owner's Initials:			

KATHLEEN CONNELL	CLAIM FOR FORGOTTEN ACCOUNTS	
CONTROLLER OF CALIFORNIA DIVISION OF UNCLAIMED PROPERTY P.O. BOX 942850 SACRAMENTO, CA 94250-5873		
SECTION I DESCRIPTION OF FUNDS, ETC., DUE OWNERS		
DATE	INQUIRY #	CONTROLLER'S ACCOUNT NUMBER
<div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px auto;"></div> <div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px auto;"></div>	<div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px auto;"></div> <div style="border: 1px solid black; width: 100px; height: 40px; margin: 10px auto;"></div>	<div style="background-color: #e0e0e0; padding: 5px; margin: 10px auto; width: 150px;">ANALYST HANDLING CLAIM</div>
HOLDER:		
SECTION II REQUIRED PROOF MUST BE RETURNED WITH THIS FORM		
The following items checked must be returned with this form in support of your claim. If any item(s) are not submitted your claim package will be returned. You may reopen this file by returning the claim form and all required documentation to this office.		
1. ()	NOTARIZATION REQUIRED - This form must be subscribed and sworn to by a Notary Public	
2. ()	This claim form is to be signed by claimant	
3. ()	Original savings account passbook or statement for acct. no.	
4. ()	Checking account statement for account no.	
5. ()	Original	Amount
6. ()	Original securities certificate(s) for	shares of
(OR IF CONFISCATED BY TRANSFER AGENT OR SOLD, SUBMIT EVIDENCE OF THE TRANSACTION).		
7. ()	Document verifying owner's address was once	
8. ()	Will and currently certified (within the last 6 months) Letters Testamentary appointing administrator and/or executor (open estate) or certified copy of Final Decree of Distribution (closed estate) for the estate of	
9. ()	If the estate was not probated, please execute the enclosed Declaration Under Probate Code Section 13101 and Table of Heirship (Table of Heirship must be completely filled out and notarized).	
10. ()	CERTIFICATE of _____ for _____	
11. ()	Birth, death and/or marriage certificate associating claimant(s) with owner of account.	
12. ()	Provide copy of document verifying your identity (i.e., driver's license, ID card)	
13. ()	Provide copy of document verifying your Social Security number or, if business, tax ID number.	
14. (X)	ALL CLAIMANTS MUST COMPLETE SECTIONS III, V AND VII ON REVERSE.	
15. (X)	ALL INVESTIGATORS/HEIRFINDERS MUST COMPLETE SECTIONS IV AND V.	
16. (X)	After initial review, additional documents may be required.	
ANALYST APPROVED: _____		Date: _____
SUPV./MGR. APPROVED: _____		Date: _____
ADMIN. APPROVED: _____		Date: _____
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SECTION III CURRENT MAILING ADDRESS (TO BE COMPLETED BY ALL CLAIMANTS)			
(1) PRINT FIRST NAME	MIDDLE	LAST	DAYTIME PHONE ()
STREET ADDRESS	CITY	STATE	ZIP CODE
(2) PRINT FIRST NAME	MIDDLE	LAST	DAYTIME PHONE ()
STREET ADDRESS	CITY	STATE	ZIP CODE
SECTION IV CURRENT MAILING ADDRESS (TO BE COMPLETED BY ALL AGENTS, PERSONAL REPRESENTATIVE, INVESTIGATORS, EXECUTORS, ETC)			
(1) PRINT FIRST NAME	MIDDLE	LAST	DAYTIME PHONE ()
STREET ADDRESS	CITY	STATE	ZIP CODE
SECTION V NOTICE TO CLAIMANT: INVESTIGATOR OR FINDER FEES			
<p>Under Section 1582 of the California Code of Civil Procedures (stated below), an investigator is <u>not allowed</u> to charge a fee of more than 10% of the recovered amount.</p> <p>CCP Section 1582 (Restriction on agreement to locate reported property)</p> <p>No agreement to locate, deliver, recover, or assist in recovery of property reported under Section 1530 may be executed within twelve months of the date payment or delivery is made to the State Controller. The fee or compensation agreed upon may not exceed 10 percent of the recoverable property. The agreement must be in writing and signed by the owner after disclosure in the agreement of the nature and value of the property and the name and address of the person or entity in possession of the property. Nothing in this section shall be construed to prevent an owner from asserting, at any time, that an agreement to locate property is based upon excessive or unjust consideration.</p>			
CLAIMANT'S SIGNATURE:			DATE:
CLAIMANT'S SIGNATURE:			DATE:
REPRESENTATIVE'S SIGNATURE:			DATE:
SECTION VI PRIVACY NOTIFICATION			
<p>The Information Practices Act of 1977 and the Federal Privacy act require this Bureau to inform you that your Social Security number and other documents are requested for proper identification and processing of your claim. You have the right to view your records at this office by writing: Chief, Division of Collections, Bureau of Unclaimed Property, P. O. Box 942850, Sacramento, CA 94250-5873</p>			
SECTION VII AFFIRMATION			
<p>Each of the undersigned claimants affirms that claimant has read the claim and knows the contents thereof, and that claimant is the sole owner of the said claim and the sole person entitled to receive the money and property set forth in said claim. Each claimant certifies under penalty of perjury that original instruments such as securities certificates, checks, passbooks, etc., have been submitted or, if unable to produce such said original instruments, certifies that claimant has not sold, pledged, hypothecated or otherwise transferred said instruments or any interest or right therein. If said instruments are found by claimant, the claimant agrees to deliver them to the State Controller's Office for cancellation. In addition, each claimant will obtain a lost instrument bond if the State Controller requests such a bond. Each claimant agrees to indemnify and hold harmless the State, officers and employees from any loss resulting from the payment of said claim.</p>			
DO NOT SIGN CLAIM FORM UNLESS A DESCRIPTION OF ACCOUNT IS SHOWN IN SECTION I OR IS ATTACHED TO FORM.			
CLAIMANT'S SIGNATURE:			SSN:
CLAIMANT'S SIGNATURE:			SSN:
<p>Subscribed and sworn to before me this _____ day of _____, _____ (Year)</p> <p style="text-align: center;">_____ Notary Public in and for the county</p> <p style="text-align: center;">of _____ State of _____</p>			



KATHLEEN CONNELL
Controller of the State of California
Division of Collections
Bureau of Unclaimed Property

**NOTICE OF
INCOMPLETE CLAIM FOR UNCLAIMED PROPERTY**

Property Identification Number _____

Thank you for submitting your unclaimed property claim. Upon review of the claim package, it was discovered that items necessary to validate the claim are missing. The claim package may be resubmitted with all required documentation, including the items checked below. Upon receipt of the complete package, your claim will be reevaluated and processed.

- ___ Appropriate Signature
- ___ Notary
- ___ Social Security/Tax Identification Number Verification
- ___ Copy of Photo Identification
- ___ Verification of Reported Address as Listed on claim Form 14-b
- ___ Original Instrument (i.e., securities certificate, savings passbook, original check, etc.)
- ___ Certificate of Death for _____
- ___ Will and currently certified (within the last six months) Letters Testamentary appointing Administrator and/or Executor (open estate) or certified copy of Final Decree of Distribution (closed estate) for the Estate of _____
- ___ If the Estate was not probated, please execute the enclosed Declaration under Section 13101 of the Probate Code and enclosed Table of Heirship. Table of Heirship must be completed in full and notarized.

The Bureau of Unclaimed Property shall consider each claim within NINETY (90) DAYS after it is filed. Your claim will be considered "FILED" once all documents requested have been submitted for review.

If you have any questions regarding this notice or required additional assistance in completing your claim, please write the Bureau of Unclaimed Property at the address listed below, or call (916) 323-2827.

Bureau of Unclaimed Property
P.O. Box 942850
Sacramento, CA 94250-5873

DECLARATION UNDER PROBATE CODE SECTION 13101

The undersigned, each for himself or herself and not for the others, declare:

1. That _____ [Name of Decedent], hereinafter "Decedent," died in the
City of _____, County of _____,
State of _____ on _____,
(Year).
2. At least 40 days have elapsed since the death of the Decedent, as shown in a certified copy of the Decedent's death certificate attached to this declaration.
3. No proceeding is now being or has been conducted in California for administration of the Decedent's estate.
4. The current gross fair market value of the Decedent's real and personal property in California, excluding the property described in Section 13050 of the California Probate Code, does not exceed one hundred thousand dollars (\$100,000).
5. The property of Decedent which is to be paid, transferred or delivered by the California State Controller's Office to the declarant pursuant to this declaration is:

6. CHECK ONE OF THE FOLLOWING and, if applicable, FILL IN BLANK:

_____ The declarant(s) is/are the successor(s) of the Decedent (as defined in Section 13006 of the California Probate Code) to the Decedent's interest in the described property. [e.g., beneficiary of Decedent's will or, where Decedent left no will, the surviving spouse, child, grandchild, parent, brother or sister, niece or nephew, grandparent, aunt or uncle, cousin, etc.]

_____ The declarant(s) is/are authorized under Section 13051 of the California Probate Code to act on behalf of the successor of the Decedent (as defined in Section 13006 of the California Probate Code) with respect to the Decedent's interest in the described property. [e.g., guardian or conservator of Decedent's estate, trustee of Decedent's trust, custodian of Decedent's will or personal representative of beneficiary(ies).] The name(s) of the successor(s) of the Decedent is/are:

7. No other person has a superior right to the interest of the Decedent in the described property.
8. The declarants request that the described property be paid, delivered, or transferred to the declarants.
9. The declarants declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct. Executed this _____ day of _____ at _____.

Signature

Name [Print or Type]

Signature

Name [Print or Type]

Signature

Name [Print or Type]

Please note: This form must be completed in full and notarized.

Property ID # _____

Table of Heirship for _____, Deceased

Date of Death: _____

				Date of		
	FIRST	MIDDLE	(MAIDEN)	LAST	Birth	Death
1. Spouse of the Deceased	3 rd					
	2 nd					
	1 st					
2. Children of the Deceased	1 st					
	2 nd					
	3 rd					
	4 th					
	5 th					
	6 th					
3. Grandchildren of the Deceased	1 st					
	2 nd					
	3 rd					
	4 th					
	5 th					
4. Parents of the Deceased	Father:					
	Mother:					
5. Brothers and Sisters of the Deceased	1 st					
	2 nd					
	3 rd					
	4 th					
	5 th					
6. Children of the Deceased Brothers and Sisters	1 st					
	2 nd					
	3 rd					
	4 th					
	5 th					

The undersigned claimant, being duly sworn certifies under perjury that the above information is true and correct to the best of his or her knowledge, and that said claimant has full authority to act on behalf of the other claimants for the purpose of completing the above information.

PLEASE PRINT FULL NAME

SIGNATURE

STREET ADDRESS

CITY

STATE

ZIP

DAYTIME TELEPHONE NUMBER

Subscribed and sworn to before me this ____ day of _____, _____
(Year)

Notary Public in and for the County

of _____ State of _____

REQUEST FOR FINAL DECREE OF DISTRIBUTION

To: County of _____ Date: _____

From: (Investigator)

Subject: Final Decree of Distribution
For the Estate of _____
Deceased _____ County of _____
MM/DD/CCYY

Please send us a certified copy of the Final Decree of Distribution for the estate named above.

Enclosed is our check for \$_____ to cover the cost of the Final Decree.

If the decedent's estate was not probated, please mark the box below with an "X" and have an authorized officer of the court execute and return this form.

Sincerely,

(Investigator)

☐ To the best of my knowledge, the above named estate was not probated in the
County of _____

Authorized Officer of the Court Title Date

**State Controller's Office
Division of Collections
P.O. Box 942850
Sacramento, California 94250-5873
(916) 445-8318**

<http://www.sco.ca.gov>